



## DECLARATION FOR PATENT APPLICATION

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship is as stated below next to my name.

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **HORMONE RECEPTOR FUNCTIONAL DIMERS AND METHODS OF THEIR USE**, the specification of which

\_\_\_\_\_ is attached hereto.

X was filed on October 20, 1999 (Attorney Docket No. SALK2350)

as U.S. Application Serial No. 09/421,971

and was amended on \_\_\_\_\_

if applicable (the "Application").

**I hereby authorize and request insertion of the application serial number of the Application when officially known.**

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability of the subject matter of the Application as defined in Title 37, Code of Federal Regulations ("C.F.R."), § 1.56.



I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of first inventor: Fred H. Gage

Inventor's signature: 


Date: 11/15/99

Residence: La Jolla, California

Citizenship: United States

Post Office Address: 6668 Caminito Hermitage  
La Jolla, California 92037

Full name of second inventor: Steven T. Suh

Inventor's signature: 

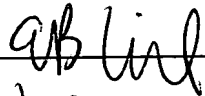
Date: 11/15/99

Residence: La Jolla, California

Citizenship: United States

Post Office Address: 8360 Via Sonoma, #A  
La Jolla, California 92037

Full name of third inventor: Elad B. Gil

Inventor's signature: 

Date: 11/20/99

Residence: ~~San Diego, California~~ BOSTON MASSACHUSETTS

Citizenship: United States

Post Office Address: ~~4099 Huerfano #218~~ 141 CHARLES ST. #3  
~~San Diego, California 92117~~ BOSTON MA 02114

Full name of fourth inventor: Marie-Claude C. Senut

Inventor's signature: 

Date: 11/15/99

Residence: La Jolla, California

Citizenship: United States

Post Office Address: 8360 Via Sonoma, Apt. A  
La Jolla, California 92037

Attorney Docket No.: SALK2350

Applicants: Gage et al.

Serial No.:

Filed: October 20, 1999

Title: HORMONE RECEPTOR FUNCTIONAL DIMERS AND METHODS OF THEIR USE

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 C.F.R. §§1.9(f) and 1.27(d) - NONPROFIT ORGANIZATION)

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: THE SALK INSTITUTE FOR BIOLOGICAL STUDIES  
ADDRESS OF ORGANIZATION: 10010 North Torrey Pines Road  
La Jolla, California 92037

TYPE OF ORGANIZATION

- ☐ University or other Institution of Higher Education  
☒ Tax Exempt under Internal Revenue Service Code (26 U.S.C. §§501(a) and 501(c) (3))  
☐ Nonprofit Scientific or Educational under Statute of State of the United States of America (Name of State \_\_\_\_\_) (Citation of Statute \_\_\_\_\_)  
☐ Would qualify as tax exempt under Internal Revenue Service Code (26 U.S.C. §§501(a) and 501(c) (3)) if located in the United States of America  
☐ Would qualify as nonprofit Scientific or Educational under Statute of State of the United States of America if located in the United States of America (Name of State \_\_\_\_\_) (Citation of Statute \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. §1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, with regard to the invention entitled **HORMONE RECEPTOR FUNCTIONAL DIMERS AND METHODS OF THEIR USE**, by inventors Fred H. Gage, Steven T. Suhr, Elad B. Gil, and Marie-Claude C. Senut, as described in

- ☐ the specification filed herewith  
☒ application Serial No. \_\_\_\_\_ filed October 20, 1999.  
☐ Patent No. \_\_\_\_\_, issued \_\_\_\_\_

I authorize and request insertion of the serial number of the application when officially known.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 C.F.R. §1.9(d) or by any concern which would not qualify as a small business concern under 37 C.F.R. §1.9(d) or a nonprofit organization under 37 C.F.R. §1.9(e).

NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 C.F.R. §1.27).

Full Name \_\_\_\_\_  
Address \_\_\_\_\_  
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization  
Full Name \_\_\_\_\_  
Address \_\_\_\_\_  
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

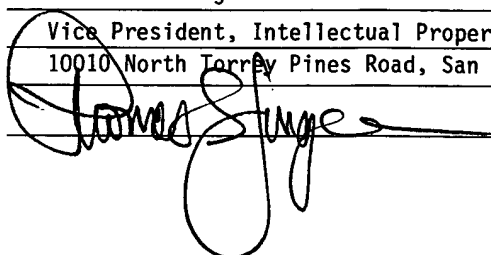
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 C.F.R. §1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING  
TITLE IN ORGANIZATION  
ADDRESS OF PERSON SIGNING  
SIGNATURE

Thomas E. Jurgensen

Vice President, Intellectual Property and Technology Transfer  
10010 North Torrey Pines Road, San Diego, CA 92037

 DATE 11/9/99